

09/856818

JC18 Rec'd PCT/PTO 2 5 MAY 2001  
PCT SECTION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO. ROH-039

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10/25/01  
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In re Patent Application of  
NAKAMURA et al.

Application No. to be assigned      Group Art Unit: Unassigned

Filed: May 25, 2001      Examiner: Unassigned

For: METHOD OF FORMING SOLID OF A FERROELECTRIC OR HIGH  
DIELECTRIC MATERIAL AND METHOD OF MANUFACTURING  
SEMICONDUCTOR DEVICE EMPLOYING THE SAME (AS AMENDED)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

The applicant, through its representatives and attorneys, hereby brings to the attention of the Examiner the documents identified on the accompanying Form PTO-1449. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

CONCISE EXPLANATION OF  
RELEVANCE OF EACH DOCUMENT

The documents A2 through A7 have been cited in the International Search Report (ISR) and the International Preliminary Examination established by the Japanese Patent Office. A copy of the ISR and English translation thereof are attached hereto. A copy of the International Preliminary Examination Report (IPER) is also attached hereto. The documents A2 through A7 have been cited in the Office Action established by the Japanese Patent Office and mailed June 13, 2000. A copy the Office Action and English translation thereof entitled "Notification of Reason(s) of Refusal" are also attached hereto. The reference cited 2 in the Office Action corresponds to U.S. Patent No. 5,156,884 (Document A1). See ISR.

English translation of the IPER is not furnished because the contents of the the IPER and the Office Action are substantially the same, except for the following paragraph:

Claims 23-33 (Absence of Novelty and Inventive-step)  
Document 5 cited in the ISR: JP, 10-064839, A (Sony Corp.) discloses a method for making a semiconductor device wherein a functional thin layer such as PZT or PLZT formed on a silicon wafer (which corresponds to a semiconductor substrate of this invention) is processed by means of such as ion beam, oxygen, ozone or ultraviolet light, and then heated. Further, it discloses that the functional thin layer is formed onto an electrode (see such as claims, [0001]-[0003], [0019]-[0038] or Fig.3).

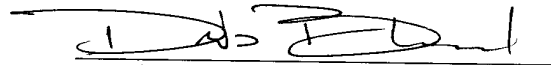
Relevance of each of the documents A2 through A7 is

explained in the ISR, IPER and the Office Action.

Since this Information Disclosure Statement is filed within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application in compliance with 37 C.F.R. §1.97(b)(2), no fee is required in connection with its filing.

It is respectfully requested that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialled copy of Form PTO-1449 be returned in accordance with MPEP § 609.

Respectfully submitted,



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Dated: May 25, 2001

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